

Statewide
STANDARD

P800-S805 Rev 2.0

TITLE: IT Risk Management

Effective Date: April 5, 2004

1. AUTHORITY

The Government Information Technology Agency (GITA) shall develop, implement and maintain a coordinated statewide plan for information technology (IT) (A.R.S. § 41-3504(A (1))) including adopting statewide technical, coordination, and security standards (A.R.S. § 41-3504(A (1(a)))).

2. PURPOSE

The purpose of this standard is to establish an IT risk management approach, supported by the Technology Security Assessment (TeSA) web-based application, for determining and evaluating security risks associated with critical information technology (IT) systems and information technologies for budget units.

3. SCOPE

This applies to all budget units. Budget unit is defined as a department, commission, board, institution or other agency of the state organization receiving, expending or disbursing state funds or incurring obligations of the state including the board of regents and the state board of directors for community colleges but excluding the universities under the jurisdiction of the board of regents and the community colleges under their respective jurisdictions and the legislative or judicial branches. A.R.S. § 41-3501(2).

The Budget Unit Chief Executive Officer (CEO), working in conjunction with the Budget Unit Chief Information Officer (CIO), shall be responsible for ensuring the effective implementation of Statewide Information Technology Policies, Standards, and Procedures (PSPs) within each budget unit.

4. STANDARD

- 4.1 Each budget unit shall perform risk assessments, at least annually as described in 4.2, for information technology (IT) systems and their environments to determine security vulnerabilities. Security vulnerabilities are more heavily weighted toward the impact of the loss on budget unit operations, budget unit assets, or individuals than on the threat of loss.
- 4.2 Each budget unit shall submit an annual IT Security Assessment to GITA (see Attachment A). The assessment indicates the effectiveness of security controls within the budget unit for categories of risks derived from Federal IT Security guidelines. Categories of risks may change periodically; the following are representative categories:

- | | |
|--|---|
| 1. IT Security | 12. Business Continuity & Disaster Recovery |
| 2. IT Risk Management | 13. Backups |
| 3. Account Management | 14. Maintenance |
| 4. Configuration Management | 15. Media Sanitizing/Disposal |
| 5. Authentication and Directory Services | 16. IT Physical Security |
| 6. Session Controls | 17. Personnel Security |
| 7. Network Security | 18. Security Training & Awareness |
| 8. Encryption Technologies | 19. Application Software |
| 9. System Administration | 20. Productivity Software Tools |
| 10. Incident Response and Reporting | 21. Classification of Data |
| 11. Virus and Malicious Code Protection | 22. Database Access |

- 4.2.1 The online TeSA tool shall be used to record assessment results. It is available at <http://www.azgita.gov/apps/> under the link “Technology Security Assessment (TeSA).” The TeSA system requires a username and password (assigned by GITA) for access.
- 4.2.2 Each category contains risk statements for which the budget unit shall select the appropriate check box of “Yes,” “No,” “To Some Extent,” or “N/A” to indicate the applicable level of effectiveness currently in place (from Policy to Procedure, through Implemented, to Tested, and finally Integrated). Each risk statement allows for comments to further explain the position of the budget unit.
- 4.2.3 Where a particular risk statement does not apply to a budget unit, the “N/A” box shall be checked for “Not Applicable.”
- 4.2.4 Budget unit IT plans shall address vulnerabilities identified in TeSA.

5. DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms located on the GITA website at http://www.azgita.gov/policies_standards/ for definitions and abbreviations.


6. REFERENCES

- 6.1. A. R. S. § 41-621 et seq., "Purchase of Insurance; coverage; limitations; exclusions; definitions."
- 6.2. A. R. S. § 41-761 et seq., "Personnel Administration."
- 6.3. A. R. S. § 41-1335 ((A (6 & 7))), "State Agency Information."
- 6.4. A. R. S. § 41-1339 (A), "Depository of State Archives."
- 6.5. A. R. S. § 41-2501 et seq., "Arizona Procurement Codes, Applicability."
- 6.6. A. R. S. § 41-3501, "Definitions."
- 6.7. A. R. S. § 41-3504, "Powers and Duties of the Agency."
- 6.8. A. R. S. § 41-3521, "Information Technology Authorization Committee; members; terms; duties; compensation; definition."
- 6.9. A. R. S. § 44 -7041, "Governmental Electronic Records."
- 6.10. Arizona Administrative Code, Title 2, Chapter 5, "Department of Administration, Personnel Administration."
- 6.11. Arizona Administrative Code, Title 2, Chapter 7, "Department of Administration Finance Division, Purchasing Office."
- 6.12. Arizona Administrative Code, Title 2, Chapter 10, Department of Administration Risk Management Section."
- 6.13. Arizona Administrative Code, Title 2, Chapter 18, "Government Information Technology Agency."
- 6.14. National Institute of Standards and Technology (NIST) Federal Information Processing Standard 199, "Security Self-Assessment for IT Systems."
- 6.15. Statewide Policy P100, Information Technology.
- 6.16. Statewide Policy P136, Information Technology Planning.
- 6.17. Statewide Policy P800, IT Security.
- 6.18. State of Arizona Target Security Architecture,
http://www.azgita.gov/enterprise_architecture.

7. ATTACHMENTS

- A. IT Security Assessment

ATTACHMENT A – IT Security Assessment

		<i>State of Arizona IT Security Assessment</i> <i>(On Critical Information Assets)</i>	
Agency:		Date:	
Contact Name:		Phone:	
Email:		Fax:	

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
1. IT SECURITY						
A. Security protections in place are commensurate with the risk and magnitude of harm resulting from unauthorized access, use, disclosure, modification to, or destruction of budget unit information or information systems, or that a contractor or other organization uses on behalf of budget unit. <i>P800 4.1.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE° <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Data/information contained in electronic transactions is protected via 1) identification, authentication, and authorization; 2) encryption, as necessary; and 3) electronic signature, as necessary. <i>P800 4.1.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
C. All information collected, processed, transmitted, stored, or disseminated in software application systems is adequately secured. <i>P800 4.1.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Networks, hardware systems, and software application systems use cost-effective management, personnel, operational, and technical controls to provide appropriate confidentiality, integrity, and availability. <i>P800 4.1.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
E. Sufficient security controls are applied to information systems, resources, and data/ information to contain risk of loss or misuse of the information to an acceptable level that supports the mission and operation of the budget unit. <i>P800 4.1.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
F. Information security management processes are integrated with budget unit strategic and operational planning processes, including planning and implementing any necessary remedial action to address IT security deficiencies. <i>P800 4.1.7</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
G. Applicable Statewide and budget-unit-specific IT security policies and standards are communicated to appropriate third-party organizations. <i>P800 4.1.8</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
H. A budget unit IT security program exists including assignment of roles and responsibilities, as well as creation of necessary procedures, adherence requirements, and monitoring controls. <i>P800 4.1.9</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
I. Overlapping IT security roles/responsibilities between budget units and/or contractors relative to security services received from, or provided to, other budget units are identified, defined, and resolved. Inter-agency Service Agreements (ISAs) are enacted relative to security services, as applicable. <i>P800 4.1.10</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
J. IT projects are implemented as described in <i>Statewide Policy P700, Enterprise Architecture, Statewide Policy P800, IT Security</i> , applicable statewide standards for security, as well as relevant Federal and individual budget unit standards. <i>P800 4.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
2. IT RISK MANAGEMENT						
A. Risk assessments for IT systems and their environments are performed at least annually to determine security vulnerabilities. Security vulnerabilities are more heavily weighted toward the impact of the loss on budget unit operations, budget unit assets, or individuals than on the threat of loss. <i>P800-S805 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
B. An IT Security Assessment (TeSA) is submitted to GITA annually indicating the effectiveness of security controls for various categories of risks. <i>P800-S805 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. IT plans address vulnerabilities identified in TeSA. <i>P800-S805 4.2.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
3. ACCOUNT MANAGEMENT						
A. Activities for establishing on-line accounts, levels of approval, access to confidential information, remote access, monitoring inactive accounts, forgotten passwords, and closing accounts are controlled. <i>P800-S810 4.1.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Management communicates that accountability for actions taken on an IT resource (e.g., computer system, budget unit or State application system, etc.) belongs to the owner of the specific userID under which those actions take place. <i>P800-S810 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. System, application, and information access is only granted via a formal and auditable procedure having a retrievable, associated written record of the request and subsequent authorization. <i>P800-S810 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
D. The steps and timing for granting or withdrawing system and information access privileges are documented and maintained in accordance with <i>Statewide Standard P800-S890, Personnel Security</i> . <i>P800-S810 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
E. All special access privileges, including high-level privileges (such as root access), system utilities, and privileges that provide access to sensitive network devices, operating system, or software application capabilities are documented and maintained. <i>P800-S810 4.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
F. All holders of remote access privileges to budget unit IT resources, including third-party entities, are documented and maintained. <i>P800-S810 4.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
4. CONFIGURATION MANAGEMENT						
A. A configuration management program governs changes to devices and/or associated software components in the production IT environment. <i>P800-S815 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. A perpetual inventory, including configuration/version information for all IT devices and associated software assets, and IT applications, is maintained on the Statewide Information Services Inventory System (ISIS). <i>P800-S815 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
C. A high-level network/ systems diagram exists, supported by detail diagrams identifying the underlying structures of the budget unit computer/systems network. <i>P800-S815 4.2.8</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
5. AUTHENTICATION AND DIRECTORY SERVICES						
A. All external connections to budget unit networks are routed through secure gateways, encrypted, and use strong authentication, such as challenge/response devices, one-time passwords, tokens, Kerberos, or smart cards, in addition to the standard method of authentication required for internal connectivity (i.e., multifactor authentication). <i>P800-S820 4.0</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Access to resources and services shall be in accordance with <i>Statewide Standard P800-S890, Personnel Security</i> , and <i>Statewide Standard P800-S810, Account Management</i> . Internal and external connectivity to networks to provide access to resources and services shall be in accordance with <i>Statewide Standard P800-S830, Network Security</i> . <i>P800-S820 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Lightweight Directory Access Protocol (LDAP) is used to provide access to directory and application services. <i>P800-S820 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. User authentication employs a userID associated with something (password) only the user/customer knows or something (token) only the user possesses. <i>P800-S820 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
6. SESSION CONTROLS						
A. Automatic session timeouts are in place on multi-user information systems and remote communication systems. The maximum period of inactivity is set commensurate with the sensitivity of information housed on the individual system. <i>P800-S825 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. All system users log off at the end of the business day. Where business requirements necessitate a deviation, rationale and procedures are documented. <i>P800-S825 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Locking screensavers are used on all personal computers (including laptops) and are automatically activated by the computer's operating system after a specific period of inactivity determined by the budget unit. <i>P800-S825 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Password strength used on locking screen savers is determined by the capabilities of the applicable operating system. Passwords meet the requirements of <i>Statewide Standard P800-S820, Authentication and Directory Services</i> , unless otherwise prevented by the capabilities of the operating system. <i>P800-S825 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
E. Accounts are locked from further use following a maximum number of detected, unsuccessful login attempts. Resetting procedures ensure that only the correct account holder is requesting the reset. <i>P800-S825 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
F. Where available, access logs are turned on and protected from accidental or deliberate overwriting, maintained for a period of time determined by business need, and stored in accordance with <i>Statewide Standard P800-S870, Backups</i> . <i>P800-S825 4.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
7. NETWORK SECURITY						
A. All external traffic is routed through secure gateways, such as firewalls, employed at the edge of the budget unit's network, including the Internet Gateway. <i>P800-S830 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Client platform devices, including State-owned assets, client devices used by remote workers and telecommuters, as well as third-party entities, connected to the budget unit's internal network should be protected from sending or receiving hostile threats from unauthorized network traffic or software applications. <i>P800-S830 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Internetworking devices (including routers, firewalls, switches, etc.) are controlled to prevent unauthorized access. <i>P800-S830 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Roles, responsibilities, and related activities for implementing patch management on internetworking devices (including routers, firewalls, switches, etc.) are identified. <i>P800-S830 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
E. Services provided through the Internet (web-enabled applications, FTP, Mail, DNS, VoIP, etc.) are deployed on a Demilitarized Zone (DMZ) or proxied from a DMZ. <i>P800-S830 4.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
F. All external connections to networks are routed through secure gateways and protected by an approved encryption method. <i>P800-S830 4.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
G. Wireless networks employ centralized user authentication in accordance with <i>Statewide Standard P800-S820, Authentication and Directory Services</i> , encryption technologies with automated key distribution, and VPN technologies, as appropriate. <i>P800-S830 4.8</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
H. Intrusion detection mechanisms or intrusion prevention tools are incorporated into all servers connected to WANs and to all internetworking devices that serve as gateways between WAN network segments. <i>P800-S830 4.9</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
I. Network and host vulnerability scanners are used to test for the vulnerabilities of internal systems and of network perimeter defenses, as well as adherence to security policy and standards. <i>P800-S830 4.10</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
J. Hardcopy and electronic documentation of network device configurations, network diagrams, etc., is destroyed when superseded or no longer needed. <i>P800-S830 4.11</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
8. ENCRYPTION TECHNOLOGIES						
A. Secure e-mail communications use S/MIME Version 3, or succeeding approved standards, for encryption, sender authentication, and message integrity services. <i>P800-S850 4.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Security levels for specific PKI and PGP uses have been determined in conjunction with State's Policy Authority. <i>P800-S850 4.7</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
9. INCIDENT RESPONSE AND REPORTING						
A. A SIPC membership application has been completed for the budget unit. Contact information for SIPC is up to date. <i>P800-S855 4.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. All cyber intrusions are reported to SIPC within one hour of discovery. A SIPC Incident Report is completed for each cyber intrusion. <i>P800-S855 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
10. VIRUS AND MALICIOUS CODE PROTECTION						
A. All workstations and servers are protected by virus-scanning software that has “notify and clean” enabled by default. Users are prevented from disabling virus-scanning software. <i>P800-S860 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Each budget unit shall ensure that all remote workstations and servers used by State employees, contractors, and third-party entities that access budget unit internal networks are protected with virus-scanning software equivalent to that used by the budget unit. Virus-scanning software shall be configured and kept current. <i>P800-S860 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Virus-scanning software regularly scans all files stored on direct attached storage devices to the workstation and any file accessed or modified by a workstation software application, whether deployed on the individual workstation device, host- or server-based, or application service provider (ASP) based. <i>P800-S860 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Specific individuals are responsible and accountable to configure and execute appropriate virus-scanning software on all network-attached (wired and wireless) workstations, and to maintain appropriate inoculants and patches for each virus or malicious code infection on all network servers that provide virus-scanning services to network-attached (wired and wireless) workstations and on all portable and stand-alone workstations. <i>P800-S860 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
E. All incoming email, including attachments, is scanned for the existence of virus or malicious code. Viruses and malicious code are contained and eradicated upon discovery. <i>P800-S860 4.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
F. Employees and contractors are provided a clear process, including appropriate contact points, to address, resolve, and report virus or malicious code infections. <i>P800-S860 4.8</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
G. Protection techniques guard against virus and malicious code and potential intrusion from Instant Messaging (IM), peer-to-peer (P2P) file-sharing, and Internet Relay Chat (IRC). <i>P800-S860 4.10</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
11. BUSINESS CONTINUITY & DISASTER RECOVERY						
A. Phase I Business Impact Assessment, Phase II Strategy Development, and Phase III Strategy Implementation have all been completed. <i>P800-S865 5.0</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
12. BACKUPS						
A. Backups are taken using a defined cycle frequently enough to meet the time-criticality of budget unit business processes, business continuity plans, as well as legal, regulatory, and contractual obligations. <i>P800-S870 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
B. Backup media types (disks, RAID storage, optical archive, tape, etc.) used are based on business continuity planning for critical services and regulatory obligations relative to permanence of data/information. <i>P800-S870 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Automated back-up management software is used to perform the backups on designated systems. <i>P800-S870 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. The same controls as apply to the original data apply to the data being backed up. <i>P800-S870 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
E. All operating system software, application software, related software, utilities, etc., necessary to configure and restore critical information and services are backed up. <i>P800-S870 4.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
F. Backups are tested on a regular basis, as documented, for restorability, recoverability, and to ensure that restored information has not been compromised. <i>P800-S870 4.7</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
13. MAINTENANCE						

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
<p>A. Configurations of critical systems' platform and network infrastructure, operating system software, software application, and related software configurations are documented and maintained. Formal change control exists for configurations of critical systems.</p> <p><i>P800-S875 4.1.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>B. Sensitive data stored on systems being sent offsite for repair or maintenance operations is removed from the storage media in accordance with <i>Statewide Standard P800-S880, Media Sanitizing/Disposal</i>.</p> <p><i>P800-S875 4.2</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>C. Access to critical system hardware and software, wiring, and networks is restricted to personnel authorized by the budget unit and controlled by rules of least privilege required to complete the assigned task.</p> <p><i>P800-S875 4.3</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
14. MEDIA SANITIZING/DISPOSAL						
<p>A. Any IT device, network component, operating system software, application software, or storage media containing public/official records has the final disposition of those records established with Arizona State Library, Archives, and Public Records (ASLAPR) before it is disposed of through State Surplus or provided to another State organization.</p> <p><i>P800-S880 4.1</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>B. Before disposal through State Surplus, data stored on any IT device is deleted in a manner that renders it unrecoverable.</p> <p><i>P800-S880 4.2</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>C. Prior to off-site repair of IT devices, network components, operating system or application software, or storage media, all budget unit sensitive data is removed.</p> <p><i>P800-S880 4.3</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>D. Only authorized personnel remove sensitive data from IT devices.</p> <p><i>P800-S880 4.4.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
15. IT PHYSICAL SECURITY						
A. Information systems (mainframes, servers, etc.), media storage areas, and related communication wiring and network devices are located in secure locations that are locked and restricted to access by authorized personnel only. <i>P800-S885 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Physical access security measures employed for back-up systems/facilities are equivalent to those of the primary facilities. <i>P800-S885 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Information systems, media storage areas, and related communication wiring and network devices are protected against loss or malfunction of environmental equipment or services necessary for the operation of the facility that houses them. <i>P800-S885 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Computing and telecommunications equipment is inventoried in accordance with <i>Statewide Standard P800-S815, Configuration Management</i> , accounted for, and safeguarded from loss and resulting unauthorized use. <i>P800-S885 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
16. PERSONNEL SECURITY						
<p>A. Personnel policies and procedures show clear accountability for security administration. Security policies and procedures are available to and applied to every existing State employee and contractor, as well as to new State employees and contractors.</p> <p><i>P800-S890 4.1</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>B. Job-related requirements for potential IT personnel or contractors working in primary facilities housing critical information systems or handling confidential information are used as a hiring consideration.</p> <p><i>P800-S890 4.4</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
17. SECURITY TRAINING AND AWARENESS						
<p>A. Security awareness training content exists and is regularly reviewed and updated to ensure that it addresses the organizational mission including culture, business, technology, systems, and data/information.</p> <p><i>P800-S895 4.1</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>B. IT security roles and responsibilities of key personnel are defined and documented.</p> <p><i>P800-S895 4.2</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
18. PLATFORM INFRASTRUCTURE						
A. Platform devices have the appropriate level of security functionality incorporated as part of the installed operating system. <i>P720-S720 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Shared platforms (including mainframes, servers, etc.) are controlled to prevent unauthorized access, both internal and external, in accordance with <i>Statewide Standard P800-S830, Network Security</i> . <i>P720-S720 DRAFT</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Roles, responsibilities, and related activities for implementing patch management on platform device operating systems are identified. <i>P720-S720 DRAFT</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Hardcopy and electronic documentation of shared platform device configurations, access lists, diagrams, etc., is destroyed, as appropriate, when no longer needed. <i>P720-S720 DRAFT</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
E. All portable platform devices (laptops, PDAs, etc.) capable of storing information (documents, databases, etc.) that connect to budget unit networks adhere to authentication requirements, connectivity requirements, as well as all other applicable Statewide IT security standards have any automatic logon capability disabled. <i>P720-S720 DRAFT</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
19. APPLICATION SOFTWARE						
A. All software applications are capable of securely exchanging information and integrating or interoperating with other software applications. <i>P730-S730 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Software applications adhere to <i>Statewide Policy P800, IT Security</i> , and applicable Statewide IT security standards. <i>P730-S730 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Security services associated with software applications, databases, and utility software adhere to Statewide IT security standards, allow for all security updates to be pushed to, or accepted by, all associated software products, and allow for an integrated lightweight directory access protocol (LDAP) directory service. <i>P730-S730 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
20. PRODUCTIVITY SOFTWARE TOOLS						
A. Roles, responsibilities, and related activities for implementing patch management on productivity software are identified. <i>P730-S731 DRAFT</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
21. CLASSIFICATION OF DATA						
A. Data/information is classified according to its degree of sensitivity in a universally understandable manner and that maintains its security classification as it traverses any physical or logical boundary. <i>P740-S741 4.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Data/information is classified into “confidential” versus “public” information. (Budget units requiring additional classifications may create and document those classifications and related owner/custodian/recipient responsibilities at their discretion.) <i>P740-S741 4.1 and 4.2</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
C. Data/information, regardless of medium and/or form, is accessed, used, disposed of, secured, and controlled in accordance with <i>P740-S741, Classification and Categorization of Data</i> , and applicable Statewide IT security standards. <i>P740-S741 4.4</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
D. Aggregates of data/information are classified using the most secure classification level of any individual component. Extracts of data/information are secured to the same level as the file/database from which the data/information has been extracted. <i>P740-S741 4.5</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
E. Data/information being shared is appropriately and consistently classified and protected comparably to when the data/information was within the original budget unit's immediate control. The value and classification of the data/information is communicated to the respective additional custodians/recipients. <i>P740-S741 4.6</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
22. DATABASE ACCESS						
A. Database access is securely implemented with regard for availability, integrity, and confidentiality of the data. <i>P740-S742 4.3</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
B. Entry and update of data stored in databases is accomplished only in accordance with the business rules established in software application systems. Data access and permissions are assigned within the context of the software application and in accordance with <i>Statewide Standard P800-S810, Account Management</i> . <i>P740-S742 4.8</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.

Control	Policy	Procedure	Implemented	Tested	Integrated	Comments*
<p>C. Free-form data entry and update using direct database access are restricted. Direct database access, when required, is accomplished in accordance with <i>Statewide Standard P800-S810, Account Management</i>. Owners of the data and information stored in the relevant databases provide written delegated authority or specific access permissions to ensure that relevant business rules implemented by the software application system for normal entry and update are not violated.</p> <p style="text-align: right;"><i>P740-S742 4.9</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	
<p>D. Direct database access for ad-hoc queries and end-user reporting is read-only. Software utilized for ad-hoc queries and end-user reporting conforms to database technology connectivity and access requirements defined in <i>Statewide Standard P740-S742, Database Access</i>.</p> <p style="text-align: right;"><i>P740-S742 4.10</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> TSE <input type="checkbox"/> N/A	

° TSE – To Some Extent

* Description of method to close gaps required for “No,” “TSE,” and “N/A” answers.